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Report of the Secretary-General on United Nations-African Union cooperation in peace and security

I. Introduction

1. In my report on support to African Union peacekeeping operations authorized by the United Nations (A/65/510-S/2010/514) of 14 October 2010, I examined the progress made in strengthening the strategic relationship between the United Nations and the African Union; described the operational relationship between the two organizations; listed the key challenges in financing African Union peace support operations; and highlighted initiatives taken by the African Union Commission to reform and enhance its financial management and accountability mechanisms, both in general and specifically in respect to peace support operations. On this basis, I expressed my intention to submit a further report, providing, inter alia, recommendations towards strengthening strategic cooperation between the United Nations and the African Union in the area of peace and security. In its statement of 22 October 2010 (S/PRST/2010/21), the Security Council welcomed this intention and recommended that the report take into account the lessons learned from the various peacekeeping partnership experiences, in particular the African Union-United Nations Hybrid Operation in Darfur (UNAMID) and the African Union Mission in Somalia (AMISOM).

2. The present report provides an update on cooperative efforts between the United Nations and the African Union under the umbrella of peace and security: conflict prevention, mediation, peacekeeping, peacebuilding, human rights and humanitarian affairs. The report also contains lessons learned and recommendations on ways to further strengthen cooperation between the two organizations within the context of a highly dynamic peace and security environment in Africa.

II. Cooperation under Chapter VIII of the Charter of the United Nations

3. The Security Council has primary responsibility for the maintenance of peace and security, a role that is recognized in article 17 of the African Union Protocol establishing the Union's Peace and Security Council. The Charter of the United Nations recognizes, in Chapter VIII, the important role and responsibility of regional organizations in the prevention, management and resolution of disputes. The contribution of the African Union to peace and security in Africa, as an integral

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part of international collective security, has been acknowledged and encouraged by the Security Council. Over time, and in response to the severity of the peace and security challenges in Africa, the roles of both the African Union and the regional economic communities have increased significantly, both qualitatively and quantitatively. With the support of the United Nations and other international actors, the African Union has enhanced the means, through its African Peace and Security Architecture, to achieve a greater and more comprehensive role in the maintenance of peace and stability in Africa.

4. The partnership between the United Nations and the African Union has evolved at the strategic and operational levels and has led to swift and effective responses to conflict. At the same time, cooperation has at times been challenged owing to the divergent positions of the two organizations towards particular crises. At the strategic level, cooperation with regional organizations must be anchored in shared values, principles and objectives. At the operational level, it is important that the partnership continues to be based on comparative advantages, complementarity of mandates and the optimal use of resources and capacities. In accordance with Chapter VIII of the Charter, cooperation between the United Nations and regional organizations is determined by the Security Council, based on the political dynamics of a particular conflict. Members of the Council may recall that, in my 2008 report on the relationship between the United Nations and regional organizations, in particular the African Union, in the maintenance of international peace and security (S/2008/186), I also discussed the nature and structure of the partnership and ways of addressing common peace and security challenges.

III. Coordination and consultation mechanisms

A. United Nations Security Council and African Union Peace and Security Council

5. The relationship between the Security Council and the Peace and Security Council of the African Union is at the core of the overall strategic partnership between the two organizations. Since the establishment of the Peace and Security Council by the African Union in 2004, the Security Council has enhanced collaboration with it, with a view to ensuring rapid and appropriate responses to emerging situations and developing effective strategies for conflict prevention, peacemaking, peacekeeping and peacebuilding on the continent.

6. On 21 May 2011, the members of the Security Council and the Peace and Security Council of the African Union held their fifth consultative meeting at the headquarters of the African Union in Addis Ababa. Building on their annual consultative meetings held since 2007, on an alternating basis in New York and Addis Ababa, the members of the Security Council and the Peace and Security Council assessed their cooperation in the areas of conflict prevention and resolution, peacekeeping and peacebuilding, including the maintenance of constitutional order and the promotion of human rights, democracy and the rule of law in Africa. The meeting allowed the two bodies to continue developing an effective partnership and to discuss key peace and security issues on which both organizations were engaged, and also to explore ways to enhance their cooperation. In this connection, they discussed the situation in Côte d'Ivoire, Libya, Somalia and the Sudan. As at

previous meetings, representatives of the two bodies also discussed means of strengthening methods of work and cooperation, in an effort to enhance the substantive impact of the annual meeting. In their joint communiqué, the two institutions reiterated their commitment to strengthening their partnership.

7. The close working relationship between the Secretariat of the United Nations and the African Union Commission helps to enhance the relationship between the Security Council and the Peace and Security Council of the African Union. Over the last year, senior officials of the African Union have been invited to brief the Security Council and my special representatives and envoys have also been invited to brief the Peace and Security Council. These briefings have focused on issues of common interest, including the situations in Burundi, the Central African Republic, the Democratic Republic of the Congo, Guinea-Bissau, Libya, Madagascar, Somalia and the Sudan, the activities of the Lord's Resistance Army and thematic issues relating to peacebuilding, the prevention of genocide and sexual violence in conflict situations.

B. Coordination with Member States and regional and subregional actors: high-level meetings

8. In an effort to generate momentum and ensure coherent regional and international support and strengthen the regular exchanges between the Secretariat and the Commission on various crises, the two organizations have increasingly been working closely with the Member States and subregional organizations in Africa in the format of mini-summits or high-level meetings to address the major conflicts and crisis on the continent. On 24 September 2010, the African Union participated in a high-level meeting convened by the Secretary-General in New York on the Sudan to mobilize international support for the full and timely implementation of the final phase of the Comprehensive Peace Agreement by the parties to the conflict in the Sudan, including the referendums on the self-determination of the people of Southern Sudan and on the status of Abyei. Following the referendum in the Sudan, on 31 January 2011, the Chairperson of the African Union Commission, Jean Ping, and the Secretary-General co-chaired a meeting in Addis Ababa with the Chair of the Intergovernmental Authority on Development (IGAD), Prime Minister Meles Zenawi of Ethiopia, to facilitate a smooth post-referendum transition.

9. Throughout the recent post-elections crisis in Côte d'Ivoire, the African Union, together with the Economic Community of West African States (ECOWAS), took a leading role in resolving the crisis peacefully. In order to ensure coordinated action on the way forward, the Secretary-General co-chaired a high-level meeting on Côte d'Ivoire with the African Union and ECOWAS Chairpersons in Addis Ababa on 29 January 2011.

10. In an effort to build an international partnership and chart a common approach on Libya, the United Nations and the League of Arab States co-convened four meetings with regional organizations, including the African Union, the European Union and the Organization of the Islamic Conference on 14 April, 30 May, 18 June and 26 August 2011 in Cairo. The "Cairo Group" served as the basis for joint and coordinated action by the participating regional organizations. I also participated in the extraordinary summit of the Assembly of the African Union on 25 May 2011, where the elements of the African Union road map were discussed. On 20 September

2011, representatives of the African Union and African Member States, among others, attended the high-level meeting that I convened in New York to mobilize the support of the international community for the post-conflict phase in Libya.

11. With regard to Somalia, the two organizations convened two mini-summits on the margins of the African Union summits in Kampala in July 2010 and in Addis Ababa in January 2011. The latter was co-chaired by the United Nations, the African Union and IGAD. IGAD played a prominent part in the Addis Ababa Summit, given its critical role in the Somali peace process. The African Union also participated in the mini-summits on Somalia I convened on the margins of the United Nations General Assembly in 2010 and 2011. These occasions presented unique opportunities for the two organizations to have a fuller exchange of views on the situation in Somalia and to focus the attention of the international community on the needs of AMISOM. The meetings have contributed to the goal of ensuring coherent regional and international support for the political process and the way forward.

C. Coordination between the United Nations Secretariat and the African Union Commission

12. In recent years, the United Nations Secretariat and the African Union Commission have worked to enhance their partnership in the area of peace and security at both the strategic and operational levels. On 25 September 2010, with the aim of enhancing the strategic partnership between the two organizations, the Chairperson of the African Union and the Secretary-General launched the United Nations-African Union Joint Task Force on Peace and Security. Since then, the Task Force has held three meetings, in New York, on 29 September 2010 and 19 September 2011, and in Addis Ababa on 1 February 2011, at the level of Under-Secretaries-General of the United Nations and the Commissioner for Peace and Security of the African Union. In 2011, the meetings of the Task Force offered the opportunity for both organizations to discuss cooperation in Côte d'Ivoire, Libya, the Sudan, South Sudan and Somalia, in line with the decisions of the mini-summits and high-level meetings that I convened or co-chaired with the Chairpersons of the African Union, ECOWAS and IGAD.

13. Initiated in 2008, in the framework of the 10-year capacity-building programme for the African Union, the United Nations Secretariat and the African Union Commission have organized six consultative "desk-to-desk" meetings at the working level on the prevention and management of conflicts on the continent. The desk-to-desk meetings have provided the United Nations, the African Union and the regional economic communities with a mechanism for cooperation and information-sharing, and have led to joint initiatives on country situations and cross-cutting issues of mutual interest. Following the recommendations in my 2009 report on support to African Union peacekeeping operations authorized by the United Nations (A/64/359-S/2009/470), the desk-to-desk exchanges, led by the Department of Political Affairs, have been broadened to include relevant officers from the Department of Peacekeeping Operations, the Depart of Field Support and the Office for the Coordination of Humanitarian Affairs, and other entities have also joined, including the Office of the United Nations High Commissioner for Human Rights (OHCHR), the United Nations High Commissioner for Refugees (UNHCR), the United Nations Office to the African Union (UNOAU) and United Nations field missions. In an effort to further enhance coordination between the two

organizations, the meeting has also served as a mechanism to follow up on the implementation of the recommendations of the Joint Task Force meetings.

14. In this regard, over the last year, there have been two desk-to-desk meetings, held on 10 and 11 June in Kenya and on 1 and 2 December 2011 in the United Republic of Tanzania. During these meetings, participants reviewed the status of implementation of the recommendations made at the Joint Task Force meetings in January 2011 and September 2011. The desk-to-desk meetings have also provided opportunities to discuss a range of thematic issues relating to cooperation between the United Nations and the African Union in peace and security in Africa, including unconstitutional changes of government, election-related disputes and political violence and human rights and humanitarian affairs. In light of recent developments in cooperation between the two organizations in peace and security in Africa, regular teleconferences between the United Nations Secretariat and the African Union Commission, facilitated by UNOAU, have resumed in order to enhance coordination and consultation at the desk level.

15. The establishment of UNOAU in 2010 has strengthened the flow of information between the Secretariat and the Commission, enhanced consultation at the working level and facilitated greater coordination between the two organizations. Within the framework of the 10-year capacity-building programme for the African Union, UNOAU co-chairs the peace and security cluster, coordinating the support of the entire United Nations system to the African Union in the area of peace and security. Since its establishment, the members of the peace and security cluster have provided expert support to the African Union in a variety of capacity-building areas, with a special focus on the development and operationalization of the African Peace and Security Architecture and its components. Following the recommendations of the eleventh session of the Regional Coordination Mechanism and my report on the review of the 10-year capacity-building programme of February 2011 (A/65/716-S/2011/54), the cluster is further realigning its activities with African Union priorities and objectives.

16. In addition, my special representatives and other senior officials from Headquarters and the field participated in the African Union high-level retreats on the promotion of peace, security and stability in Africa in August 2010 and September 2011. The meetings provided an opportunity for senior officials and special envoys/representatives of both organizations, as well as other high-level participants, to exchange views on the trends, challenges and prospects for peace and stability in Africa. My special representatives to the African Union and other senior United Nations officials from Headquarters have also participated in the meetings of the Panel of the Wise in December 2010 in Algiers and December 2011 in Zanzibar, United Republic of Tanzania.

IV. Cooperation in conflict prevention and mediation

17. While conflict management remains an undisputed core function of the United Nations and the regional organizations, there has been a growing recognition over the past years that we must strengthen our collective efforts to prevent conflicts before they occur. My report of 26 August 2011 on preventive diplomacy (S/2011/552) describes the changing landscape faced by the United Nations and its partners in conflict prevention, illustrates how recent joint engagements have made

a difference on the ground in a range of different contexts and outlines the key priorities moving forward.

18. Today, conflict prevention is central to the partnership between the United Nations and the African Union. Our envoys have worked together to defuse tensions and resolve problems before they spiral, as illustrated by the case of Guinea. The United Nations regional office in West Africa has established close working relations with the African Union as well as with subregional organizations, thus allowing all entities to jointly address potentially explosive peace and security issues throughout the region. Working alongside the African Union and ECOWAS, my Special Representative, Saïd Djinnit and his team have been very active in shuttle diplomacy and mediation support during crises situations in West Africa, including in Benin, Guinea, Guinea-Bissau, the Niger, Togo and Côte d'Ivoire. The mandate of the newly established United Nations Regional Office for Central Africa (UNOCA), operational since March 2011, is to make a similar contribution to conflict prevention in the subregion through, inter alia, the use of good offices on my behalf, and to help address cross-border challenges such as arms trafficking and the presence of armed groups, including the Lord's Resistance Army. United Nations peacekeeping and political missions on the ground, which play a continuous preventive role in many fragile countries, frequently collaborate with counterparts in the African Union and the regional economic communities in mission areas and in Addis Ababa. Groups of friends and international contact groups, on which the United Nations and the African Union are both represented and work closely together, have also provided useful venues for concerted diplomatic support when it is most needed.

19. One of the areas in which the partnership between the two organizations has significantly expanded over the past years is mediation. In accordance with Article 52 of the Charter, which states that the Security Council shall encourage the development of pacific settlement of local disputes through regional arrangements, the Department of Political Affairs has worked closely with the African Union Commission to build African institutional mediation capacity, including support to the establishment of the Union's mediation strategy, sharing lessons and experiences and enhancing coordination in this area. The ultimate aim of the secretariats of the two organizations is to strengthen support to mediation partnerships between the two organizations at the operational level, thereby improving the quality of peacemaking in Africa. This partnership also involves the regional economic communities, including ECOWAS, the Southern African Development Community (SADC) and IGAD. Operationally, the United Nations has previously worked closely with the African Union and the regional economic communities in mediation processes, including in Côte d'Ivoire, Guinea, Guinea-Bissau, Kenya, Madagascar, Somalia, the Sudan/Darfur and the Sudan/South Sudan. Cooperation is still ongoing in many of these situations.

20. It is important to note, however, that the partnership between the United Nations and the African Union in mediation is a work in progress that has yet to reach its full potential. The mediation partnership between the two organizations has often taken place in an ad hoc fashion and more needs to be done to improve cooperation at the conceptualization, planning and implementation stages of peace processes and in translating early warning into effective action through enhanced response capabilities.

21. In an effort to fulfil the potential of the partnership and to address the gaps in cooperation in the area of mediation, the United Nations and the African Union secretariats are working to develop common guidelines that outline a framework for mediation in Africa. The guidelines are being developed following two years of consultations and lessons learned exercises between the two organizations focusing on four cases: Kenya (African Union-led with United Nations support); Darfur (previously African Union-led, currently joint African Union-United Nations mediation); Somalia (United Nations-led); and Guinea-Bissau (led by a subregional organization, ECOWAS, in cooperation with the African Union and the United Nations). The guidelines are based on shared values and provide broad principles of cooperation aimed at clarifying roles and strengthening cooperation between the two organizations when undertaking joint mediation efforts. The success of these efforts to make the mediation partnership more coherent ultimately depends on the degree to which this approach is adopted at the strategic level and supported by Member States.

V. Peacekeeping

A. Ongoing support to the African Union Commission in peacekeeping

22. In addition to the United Nations and African Union peacekeeping partnership in ongoing operations, the United Nations Secretariat, through UNOAU, continues to provide operational and planning support and long-term capacity-building support to the African Union Commission for its peace support operations under the framework of the 10-year capacity-building programme. This includes support to the planning and management of ongoing operations such as AMISOM and potential future operations, as well as technical advice and support in the development of the policies, guidelines, doctrine and training for the African Standby Force as part of the African Peace and Security Architecture, in accordance with the African Union Commission's 2009-2012 strategic plan. UNOAU provides advice and mentoring to the African Union Commission on a daily basis in the areas of: mission planning, development of doctrines and policies, military, police, logistics, medical, human resources, procurement and other mission support. The establishment of UNOAU, in July 2010, has provided a much-needed focus for and rationalization of the provision of United Nations support in the area of peacekeeping by linking operational support and capacity-building for the African Union.

23. A major milestone in the development of the African Standby Force was achieved through the AMANI Africa (phase 1) exercise and evaluation, conducted in October 2010. The exercise demonstrated the importance of appropriate structures, staffed by well-qualified personnel, supported by clearly understood doctrine and procedures and backed by effective training and decision-making processes. The exercise also confirmed the need for senior leadership training, including training for mission management, for staff of the African Union Commission and regional planning personnel. The AMANI Africa (phase 1) evaluation report led to the development of the next phase of the African Standby Force, road map III, which was endorsed by the African Union Specialized Technical Committee on Defense, Safety and Security in October 2011 and will be submitted for approval by the Executive Committee in early 2012. The road map, which covers a five-year period, focuses on lessons learned from the AMANI Africa (phase 1) exercise, in particular

with regard to staff and training, and provides a useful tool for the African Union to evaluate all components of the African Peace and Security Architecture, identify its priorities and set benchmarks for the operationalization of the African Standby Force.

24. With respect to the AMANI Africa (phase 2) cycle, UNOAU provides ongoing advice and mentoring to the African Union Commission and the regional economic communities or regional mechanisms for the development of key programmes to meet the targets for events and activities outlined in the AMANI Africa calendar. UNOAU has also enhanced its direct training support to ensure that it reflects the needs of the African Union and is facilitated by personnel with experience in African Union peacekeeping operations.

25. While the African Union and the regional economic communities have made important strides in the operationalization of the African Standby Force, the impact of partner support has sometimes fallen short of expectations, primarily as a consequence of a lack of human resources capacity within the Union to absorb the support provided, as well as coordination issues among partners, leading to duplication of effort and/or failure to address the Union's priority needs. Appropriate structures with appropriate staffing and more effective coordination will be increasingly important to ensure optimal use of resources to help the African Standby Force become fully operational by 2015. In this regard, a significant step in operationalizing the Force has been made by the East African Command of the African Standby Force with the deployment of 14 staff officers and plans to deploy a level II hospital to take part in AMISOM operations.

26. UNOAU is also supporting the African Union in articulating a strategy and operational plans in support of a regional peace support initiative by the Central African Republic, the Democratic Republic of the Congo, South Sudan and Uganda to address the activities of the Lord's Resistance Army. This experience has been helpful in developing the coordinated and coherent approaches required in mutual efforts to address crises that may arise in countries where the United Nations has peacekeeping operations and political missions.

27. Within the framework of United Nations support to the African Union Commission in peacekeeping, significant progress has also been made in the implementation of the United Nations-African Union strategic partnership on security sector reform. Within the context of the partnership, UNOAU and the Department of Peacekeeping Operations have provided significant technical support and advice to the African Union Commission in the elaboration of its security sector reform policy. The African Union Commission and the United Nations Secretariat are also leveraging considerable resources for the implementation of a number of capacity-building projects aimed at operationalizing the policy, including the elaboration of policy tools and guidance; joint United Nations-African Union assessments to countries undergoing security sector reform and advocacy and training. In addition, African Union experts in the area of security sector reform participated in the 2011 inter-agency task force meeting on this subject and new staff working in this field undertook a familiarization visit to United Nations Headquarters. The Secretariat has also supported the African Union Commission in conducting orientation workshops on security sector reform in Ethiopia, Ghana and Zimbabwe. A fourth workshop for the Pan-African Parliament was held in November 2011 in South Africa.

28. In an effort to support the African Union Commission's 2009-2012 strategic plan in the area of peace and security, UNOAU and the Department of Peacekeeping Operations, the African Union Commission and the World Bank have developed a one-year capacity-building development project in the area of disarmament, demobilization and reintegration. The project, which will be implemented in 2012, will consist of: workshops on disarmament, demobilization and reintegration for the Commission and its partners; study visits for Commission personnel; development of an African Union resource centre on disarmament, demobilization and reintegration; and prioritizing access of selected African Union staff to existing training on this subject. As an integral part of the project, the African Union will develop and implement a disarmament, demobilization and reintegration-related project in one of its Member States in order to obtain practical experience.

29. The protection of civilians is another thematic and cross-cutting area of peacekeeping where the United Nations is working to support the African Union. In 2010, the Department of Peacekeeping Operations provided specialized support to the development of the African Union draft guidelines for the protection of civilians in peace support operations. The draft was presented to the fifteenth ordinary session of the Assembly of the Union, held in Kampala in July 2010. At its 279th meeting, in May 2011, the Union's Peace and Security Council urged the African Union Commission to mainstream the draft guidelines into the work of AMISOM. The Peace and Security Council also encouraged the Commission to pursue its efforts in relation to protection of civilians, notably through the development of: (a) an AMISOM approach for the protection of civilians; (b) a lessons learned report; (c) protection threats, vulnerabilities and risks indicators for the continental early warning system; (d) a guidance note on protection mandates; (e) a framework for developing mission-specific protection strategies; and (f) drafting of training guidelines and the conduct of awareness-raising and outreach activities. The United Nations will continue to support the African Union in its efforts to develop policy, guidance and training in relation to the protection of civilians. The political and security contexts in which African Union peace support operations often operate can be distinct from those in which United Nations peacekeeping missions are generally deployed. This will obviously need to be taken into account as the United Nations determines the nature of its support for the Union's efforts on the protection of civilians.

B. Peacekeeping partnerships with the African Union: lessons learned

30. The partnership between the United Nations and the African Union in peacekeeping has significantly evolved over the past decade. In the 1990s the United Nations engaged in various types of peacekeeping partnerships with the Organization of African Unity the precursor to the African Union, and the regional economic communities. The establishment of the African Union has led to an intensification of this partnership through the testing of new arrangements in Somalia and the Sudan, while also developing the Union's capacity to undertake multidimensional peace support operations. To further enhance and build upon the cooperation between the two organizations in the area of peacekeeping, it is critical to review lessons learned, adopt best practices and translate those into policies and guidelines for future cooperation. In this regard, and in accordance with the Security Council's presidential statement of 22 October 2010 (S/PRST/2010/21), the United

Nations and African Union undertook a joint lessons learned workshop in November 2010 to discuss positive experiences, best practices, challenges and gaps in respect of the provision of the light and heavy support packages for the African Union Mission in Somalia (AMIS), logistical and technical support for AMISOM and the collaboration that has taken place under the UNAMID hybrid structure.

31. It is important to note that while the United Nations has undertaken various types of peacekeeping partnerships with the African Union and its subregional organizations, the form of this partnership has always come as a result of the specific political and security circumstances of a given conflict. In Darfur, the United Nations light and heavy support packages for AMIS and the hybrid operation (UNAMID) were the only options available for United Nations intervention with host country consent. With respect to Somalia, the United Nations technical and logistical support to AMISOM was authorized based on the Security Council's expressed intent to deploy a United Nations peacekeeping operation as a follow-on force to AMISOM at the right time under the right conditions. These are unique approaches devised in order to fulfil our collective responsibility in peace and security on the continent, when the African Union has taken on responsibilities in complex political and security environments and under difficult financial and logistical circumstances.

32. Although the contexts of our collaboration with the African Union in Darfur and Somalia are distinct, a number of common lessons do emerge and should be noted for future cooperation, in particular, lessons with regard to: harmonizing policy and strategy, especially with regard to shared objectives; planning and mandating support packages and operations; determining command and control structures and providing strategic guidance; enhancing cooperation and coordination between the two organizations and ensuring complementary approaches and suitable burden-sharing in peacekeeping operations, when and where appropriate to the specific political circumstances.

Harmonization of policy and strategy

33. An effective peacekeeping operation involving the African Union and the United Nations requires the harmonization of policy and strategy at the highest level, including between the Security Council and the Peace and Security Council of the African Union, as well as the secretariats of both organizations. Such cases require thorough strategic and operational planning between the two organizations to define and agree upon common objectives for a given operation before either the United Nations or the African Union authorizes an operation requiring partnership. This would allow early identification of requirements for United Nations support to an African Union peace support operation and would also facilitate planning for possible transition to a United Nations peacekeeping operation, if such an intention were to be expressed by the Security Council. To the extent possible, mandates given by the Security Council and the Peace and Security Council for an operation that is supported by both organizations should be harmonized or worded so as to demonstrate the unity of the strategic vision behind the plan.

34. Experience from the partnerships in Darfur and Somalia illustrates the importance of harmonizing policy at the mandating and authorization phase so that planning and resourcing are commensurate to the task envisioned. For example, when the African Union authorized AMIS in 2004, the Security Council welcomed

the initiative but nevertheless needed to obtain consent to deploy a United Nations peacekeeping operation in Darfur and therefore did not authorize support to AMIS until 2006. This time lag and post-deployment planning, among other things, lead to considerable capacity gaps and operational difficulties for AMIS.

35. With respect to Somalia, while the Peace and Security Council of the African Union expects the deployment of a United Nations peacekeeping operation as a follow-on force to AMISOM as a result of fluid conditions on the ground, the Security Council decided, in January 2009, to authorize a logistics support package to assist with the Union's peace support operation in Somalia. In addition, not all of the recommendations made by the Peace and Security Council were endorsed by the Security Council when it adopted resolutions 1964 (2010) and 2010 (2011) in support of the continued deployment of AMISOM.

36. In both Darfur and in Somalia, the Peace and Security Council of the African Union has often expressed a desire to be consulted more regularly on the contents of resolutions or presidential statements that impact joint endeavours. Joint United Nations-African Union experience highlights the need for more informal communication and consultation between the two bodies. In support of that effort, the Secretariat and the African Union Commission could, where possible, provide harmonized advice to the respective legislative bodies, based on joint assessments, to be taken into account prior to the finalization of respective decisions that involve both organizations.

37. The 2007 joint report of the African Union and the United Nations on UNAMID (S/2007/307/Rev.1) provides a good example of an instance where the two organizations worked together to propose a mandate and a structure for a mission and provided details on the various components of the proposed operation and its specific tasks. In that case, the Security Council adopted the recommendations of the joint report, in particular the recommendations on the mandate for the mission. In this regard, I would like to recall the recommendation in my report of 30 December 2010 on Somalia (S/2010/675) to conduct regular joint assessments of the situation on the ground in Somalia, which was echoed by the Chairperson of the African Union in his report to the Peace and Security Council of the African Union on Somalia of 13 September 2011. In cases of managing a hybrid mission, such as UNAMID, mechanisms could also be considered whereby the Security Council and the Peace and Security Council could directly discuss draft communiqués and resolutions that are to guide the mission before they are adopted.

Command and control and strategic guidance

38. It is critical that issues related to command and control are clear prior to the deployment of any peacekeeping mission. This is even more important when missions are undertaken in coordination with another organization. To facilitate the ability of the operational commander to command and control the peacekeeping mission on a day-to-day basis, the authorizing political body(ies) must provide clear strategic and operational guidance.

39. In establishing UNAMID in 2007, it was determined that, although it was a hybrid operation, the responsibility for daily operational command and control of the mission would reside with the United Nations. At the same time, to maintain the joint nature of the mission, and to ensure joint decision-making and input into operational decisions and procedures for UNAMID, it was agreed that the Secretary-

General and the Chairperson of the African Union would appoint a joint special representative and that strategic guidance would be jointly provided by the United Nations and African Union.

40. While under this arrangement day-to-day operational questions have been addressed, it can be challenging for the mission, given that the joint special representative reports to two organizations with different legislative bodies. In the case of the Sudan, the Security Council and the Peace and Security Council have not always had the same position with respect to the situation, which has resulted in the fact that the Secretariat and the Commission can provide, at times, two sets of strategic guidance as to implementation of the mission's mandate. While every effort is made at the Secretariat and Commission level to harmonize guidance, it cannot be guaranteed that the United Nations and African Union will have the same position with regard to a particular crisis situation. This should be taken into account when planning joint endeavours in future.

41. Given the volatile political and security environment in which peacekeeping missions operate, command and control is a central feature of their design. Effective command and control requires that strategic intent is aligned throughout the chain of command. Senior and middle-level leaders need to have clearly defined roles, responsibilities and lines of accountability, both in the field and at Headquarters. When considering what sort of structure and authorization field missions should have, both organizations must ensure that they have effective command and control arrangements.

Coordination and consultation mechanisms

42. As illustrated above, effective partnerships in peacekeeping require the capacity to conduct consultation at every level, conduct joint planning and work together on a range of issues within a framework of collective security that may involve multiple actors. With respect to AMIS, the establishment of a United Nations assistance cell in Addis Ababa, and later the Darfur Integrated Task Force, were essential in providing planning and deployment support for the African Union and resolving coordination issues between the United Nations and the African Union. Secondly, the United Nations-African Union-Government of the Sudan tripartite mechanism, established in December 2006 to facilitate the deployment of the heavy and light support packages, and UNAMID provided a valuable forum for discussion and resolution of deployment-related issues. As UNAMID has evolved, this mechanism now includes discussion on strategic issues related to the use of the mission's assets in support of its mandate. Following the authorization of UNAMID in 2007, the joint support and coordination mechanism staffed by personnel from both organizations was established in Addis Ababa in the same year to facilitate coordination on information-sharing and policy. This is an innovative way to facilitate cooperation between the two organizations on a specific operation, although efforts must be made to fully exploit the potential of the mechanism.

43. As noted in my 2010 report (A/65/510-S/2010/514), AMISOM, the United Nations Political Office for Somalia (UNPOS) and the IGAD Office of the Facilitator for Somalia signed a memorandum of understanding in April 2010 to coordinate their efforts in Somalia. The memorandum commits the three agencies to exchange information as well as coordinate activities to promote and maintain peace, security and stability in the country. Subsequently, the three institutions

signed a joint regional strategy on 23 February 2011 to operationalize the memorandum. In line with the joint regional strategy, my Special Representative works closely with IGAD and AMISOM and co-chairs a monthly meeting of the principals of the working group on Somalia.

44. To facilitate coordination and collaboration at all levels, as well as to ensure the delivery of technical support, it is critical to ensure that both organizations are adequately staffed with key mission personnel both at the Headquarters and field mission levels, especially at the start-up phase. Following the establishment of UNAMID, the African Union Commission faced challenges and delays in recruiting personnel to support the mission and the joint support coordination mechanism. This led to some communications and coordination gaps, which were rectified through alternate channels.

45. The lack of sufficient substantive staff dedicated to planning tasks within the African Union Commission has often represented a challenge to the building of the planning capacity of the Commission when the United Nations began providing expert advice to the African Union Commission in the planning and management of AMISOM in 2007. Recently, however, the Commission has recruited additional planners to redouble its capacity in planning and managing its peace support operations.

Complementarity and burden-sharing

46. While United Nations peacekeeping partnerships with regional organizations have always come as a result of particular circumstances on the ground, to the extent possible the division of labour and burden sharing between the United Nations and regional organizations should be based on the principle of complementarity and added value. Partnerships should produce real operational benefits on the ground and not result in inefficient duplication.

47. In the case of Darfur, AMIS suffered from logistical and financial gaps as well as experience in peacekeeping. Through the heavy and light support packages authorized by the Security Council, the United Nations was able to provide AMIS with administrative, logistics, planning and peacekeeping expertise, while the African Union was able to assist in force generation and political assistance vis-à-vis the host country. While in the case of Somalia, the African Union and its subregional organizations have had the advantage of quick deployment and force generation, the United Nations has been able to assist through planning, logistics and management expertise.

48. United Nations-African Union experiences in both Darfur and Somalia reconfirm the importance of ensuring that, when working in partnership, roles and responsibilities between the two organizations for the different phases of peacekeeping must be clearly defined. Their respective roles and responsibilities can be determined through a stakeholder analysis, which would, inter alia, analyse the relative operational strengths and weaknesses of the United Nations and the African Union in intervening in a given conflict, determine what political constraints exist and consider which other partners are active on the ground.

49. The success of any peacekeeping operation, whether United Nations, African Union or in partnership with one another, is dependent on adequate and timely financial and logistical resources. As noted in my report on United Nations support

to African Union peacekeeping operations authorized by the United Nations (A/64/359-S/2009/470), while support packages have been helpful in ensuring effective deployment of African Union peace support operations, they do not necessarily provide the sustainability and predictability required to effectively support the start-up of a peacekeeping operation. To be successful, it is critical that support packages are authorized early and receive all required assets. In the case of AMIS and AMISOM, the United Nations support packages were authorized between 18 months to two years after the African Union mission was already operating on the ground. While it was laudable that the African Union could deploy quickly in both Somalia and Darfur when no other organization or Member State could intervene, the fact that the missions were significantly under-resourced meant that the response of the international community was effectively inadequate.

50. The financing of AMISOM has been the particular critical challenge in our joint effort to deploy an effective mission, with requisite capacity, in Somalia. It is over two years since the United Nations logistical support package for AMISOM was put in place, and while the United Nations Support Office for AMISOM (UNSOA) successfully improved the Mission's operational capability and living conditions, substantial resource gaps continue to adversely affect the effectiveness of United Nations support to the Mission. In this context, the United Nations has stressed that the support package for AMISOM should be identical to the support provided to United Nations peacekeeping operations.

51. Furthermore, AMISOM is also supported by other sources of financial and in kind assistance, including bilateral support to the troop-contributing countries and funding provided directly to the African Union. The resulting multiple sources of funding have required a significant amount of coordination in order to minimize gaps and duplication. The multiple sources of funding have also created parallel management and accountability frameworks for the same operation.

VI. Peacebuilding

52. Since the inception of the Peacebuilding Commission in June 2006, the cooperation between the African Union and the Commission have steadily developed. The Commission has placed six African countries on its agenda, namely: Burundi, the Central African Republic, Guinea, Guinea-Bissau, Liberia and Sierra Leone. As a member of the six country configurations of the Peacebuilding Commission, the African Union has been supporting the work of the Commission in advocacy for the countries on the agenda. The first annual joint consultative meeting between the Peace and Security Council of the African Union and the Peacebuilding Commission, held in New York on 8 July 2010, focused on the Commission's work in support of peacebuilding efforts in African countries. The two bodies highlighted their vision of enhanced partnership in support of peacebuilding in Africa, with emphasis on joint needs assessment missions and the development of joint mechanisms for mobilizing resources for peacebuilding activities.

53. The recommendations of the 2010 review of the United Nations peacebuilding architecture (A/64/868-S/2010/393) have provided further impetus for collaboration between the African Union and the Peacebuilding Commission, in so far as the report underlines the need for the Commission to deepen collaboration with regional organizations. The Commission and the African Union will also continue to explore

practical ways for the United Nations to support the operationalization of the African Union's policy framework for post-conflict reconstruction and development.

VII. Humanitarian action

54. In August 2010, the Office for the Coordination of Humanitarian Affairs concluded a memorandum of understanding covering three key areas of collaboration, namely enhancing the capacity of the African Union Commission on coordination of humanitarian affairs; early warning, disaster preparedness and response; and advocacy for the protection of civilians. In collaboration with the Department of Peacekeeping Operations and other partners, the Office contributed to the development for the draft African Union guidelines for the protection of civilians in peace support operations.

55. In the area of humanitarian capacity-building for the African Union and the regional economic communities, the Office for the Coordination of Humanitarian Affairs is facilitating the development of humanitarian policy frameworks at continental and subregional levels in accordance with prescribed strategic objectives of the African Union. These efforts aim to enhance complementarity between international, regional and subregional response mechanisms. Following the African Union's pledging conference and the launch of the African Union appeal for drought-affected countries in the Horn of Africa on 25 August 2011, the Office for the Coordination of Humanitarian Affairs deployed technical support to help the African Union Commission manage the pledges. The Under-Secretary-General for humanitarian affairs has also been closely coordinating with the Chairperson of the African Union Commission to build common understanding between the national authorities and the humanitarian actors on humanitarian priorities and concerns, including in Côte d'Ivoire, Libya, Somalia and the Sudan, as well as in the Horn of Africa. The Office for the Coordination of Humanitarian Affairs also supported the African Union Commission in undertaking humanitarian assessment missions to Kenya, Liberia, Sierra Leone, Somalia, the Sudan and Zimbabwe to inform the discussions of the Peace and Security Council of the African Union.

VIII. Human rights

56. OHCHR continues to assist the African Union Commission, through its Political Affairs Department, in consultation with other organs of the African Union, the regional economic communities and civil society organizations, in the development of a comprehensive human rights strategy for Africa. The human rights strategy for Africa is a guiding framework for collective action by African Union organs and institutions, regional economic communities and Member States aimed at strengthening the African human rights system. The strategy seeks to address the current challenges of the African human rights system in order to ensure effective promotion and protection of human rights on the continent. The African Union Commission, through its Political Affairs Department, has organized a validation workshop involving various stakeholders in April 2011. During 2012, the African Union Commission is expected to submit the strategy for implementation to the African Union organs with human rights mandates, the regional economic communities and the African governance platform under the African governance architecture of the African Union Commission.

57. OHCHR has been engaging with the Department of Political Affairs of the African Union Commission, the regional human rights treaty bodies, namely, the African Commission on Human and Peoples' Rights, the African Court on Human and Peoples' Rights and the Africa Committee of Experts on the Rights and Welfare of the Child, as well as civil society organizations, through technical advice, regular consultations and workshops aimed at strengthening the capacity of those organs and institutions towards greater effectiveness and promoting the implementation of human rights instruments.

IX. Observations

58. Regional organizations have made a growing contribution in complementing the work of the United Nations in maintaining international peace and security. In particular, the role of the African Union and subregional organizations over the last two decades has proven critical in addressing peace and security issues in the continent under Chapter VIII of the Charter. While United Nations cooperation with the African Union has expanded significantly in recent years, it is a relationship in progress and our response has been shaped by the dynamics of each situation on the ground and by the direction and guidance of the Security Council. Nevertheless, the two organizations share the same objectives of pacific settlement of disputes enshrined in the Charter. We must build on what we have achieved to devise and strengthen practical tools so that we can successfully face our common peace and security challenges in Africa together.

59. As I have stated earlier, the partnership between the United Nations and African Union on peace and security, at the strategic level, is defined primarily by the Security Council and the Peace and Security Council of the African Union. The African Union remains the only regional body with which the Security Council meets at regular intervals. The joint meetings and the briefings by officials of the African Union and the United Nations, as well as the establishment of UNOAU, have strengthened consultation, information-sharing and communication between the two bodies in addressing issues of mutual concern. There is, nonetheless, a need to develop agreed principles governing the modalities of cooperation and decision-making more fully.

60. In this connection, I welcome the intention of the Security Council, in accordance with its presidential statement of 13 January 2010 (S/PRST/2010/1), to hold in future informal interactive dialogues with regional and subregional organizations. More informal communication between the two Councils and their Member States is critical in developing a common vision and coordinating action prior to the finalization of respective decisions.

61. I am encouraged by the substantive discussion that took place at the last meeting between members of the Security Council and the Peace and Security Council of the African Union in Addis Ababa on 21 May 2011. Beyond the yearly meeting of the two bodies, enhanced regular consultations between African member States of the Security Council and member States of the Peace and Security Council of the African Union on issues on the respective agendas of the two organs would also help in this regard.

62. The high-level meetings and mini-summits on Côte d'Ivoire, Libya, Somalia and the Sudan, and the "Cairo Group" meetings on Libya, which I have chaired

and/or co-chaired with the African Union, the regional economic communities and other key regional organizations and key partners in Africa have proved to be an important mechanism of consultation, coordination and mobilization of joint action by the international community. On a personal level, I will continue to maintain close consultations with the leadership of the African Union and the regional economic communities on major peace and security challenges in Africa, especially in the prevention and resolution of conflicts.

63. Our experiences in peacemaking, mediation and peacekeeping cooperation with the African Union indicate that partnerships work best when there are common strategic objectives and a clear division of responsibilities, based on shared assessments and concerted decisions of the two organizations. I am committed to ensuring closer interaction between the United Nations Secretariat and the African Union Commission to exchange information and prepare harmonized views and recommendations, including through joint assessments, if appropriate, in order to assist the Security Council and the Peace and Security Council of the African Union in formulating cohesive positions and strategies. Building on best practices and lessons learned, it would be important to establish pre-agreed mechanisms for consultation that would allow the Secretariat and Commission to act and proceed together when a new crisis erupts.

64. At the operational level, lessons and experience indicate that there is no generic model for cooperation between the two organizations that can be applied to any situation, and that each situation requires innovative solutions. It is therefore important to ensure that the conceptualization, mandates, rules of engagement and institutional arrangements for each peacekeeping operation are based on the strategic and operational requirements to support a peace process or the effective implementation of a peace agreement. Such arrangements should be predicated on a shared vision of the political process and preserve unity of command and strategic direction, while ensuring the provision of critical resource and capability requirements. To ensure a more coherent framework for global peacekeeping, the United Nations is committed to working with the African Union to harmonize peacekeeping standard operating procedures, including with respect to force generation, planning and mission start-up.

65. Efforts to find a solution to ensure predictable and sustainable financing for African Union peace support operations, including the African Standby Force, need to be continued, taking into account the Union's own financing mechanisms and special conditions when it is undertaking peace support operations under the authorization of the United Nations. In this regard, I welcome the establishment of an African Union high-level panel on alternative sources of financing, set up in July 2011 under the chairmanship of former President Olusegun Obasanjo of Nigeria. I echo the appeal made by the African Union during the 8th meeting of the Specialized Technical Committee on Defense, Safety and Security on the urgent need for Member States to contribute more significantly to the funding of African Union peace support operations and, more generally, to efforts geared towards the prevention, management and resolution of conflict, as well as peacebuilding. I would also like to reiterate the call made at the extraordinary session of the African Union Assembly, held in Addis Ababa on 25 May 2011, for all Member States in a position to do so to make voluntary contributions to the African Union Peace Fund, and welcome the meeting on funding for the African Standby Force to be held in 2012.

66. Over the course of 2011, the United Nations and the African Union have been faced with many challenges, including political developments in North Africa, electoral disputes in West Africa and the conflicts in Somalia and the Sudan. Throughout these challenges, I have felt confident of the synergy of our collective efforts, given the contribution made by the African Union, its Member States and the leadership of the African Union Commission. I would like to pay tribute to the Chairperson of the African Union Commission, Jean Ping, for his continued dedication to resolving peace and security challenges on the continent, in coordination with the United Nations. I would also like to thank my Special Representative to the African Union, Zachary Muburi-Muita, for his leadership of UNOAU and his continued commitment to strengthening the relationship between the United Nations and the African Union. Most importantly, I would like to pay tribute to the peacemakers, peacekeepers and peacebuilders of the United Nations and the African Union who spend each day striving to achieve peace and security in Africa. We have come a long way, and we may still have a long road ahead, but overall the progress made through our collective efforts is commendable.